

Nassau County Probation Department - Operational Audit				Issue Date: 10/24/06		
Audit Rec #	Recommendation	Implementation (note department's intention to implement the recommendation by an "A" for Recommendation Accepted or an "R" for Recommendation Rejected)	Target Imp. Date	Department's Comments (including reason(s) for rejecting recommendation: failure to implement or implementation dates in excess of 90 days from due date of CAP)	Amended Target Imp. Date (comments required)	Comments
1	We recommend that the department consider:					
	1. some form of flexible scheduling for its field supervision units, especially those officers that are involved in GPS monitoring;					
	2. rotating employees on-call during off hours to respond to notifications of violations from the tracking company; and					
	3. scheduling tours to monitor probationers that include nights, weekends and holidays without the need for overtime payments.					
2	The department should:					
	a) make the acquisition of a case management system a high priority;					
	b) enlist the assistance of IT to help identify its short-term and long-term technology needs to ensure support and network compatibility and take advantage of tools to eliminate paper record keeping; and					
	c) investigate ways for better supervisory access to the PROBE system from the field.					
Auditor's Follow Up Response	<i>We concur with the corrective actions taken by the department to address our recommendations and realize that some of our findings and related recommendations will only be addressed through acquisition and installation of a case management system. The department should consider remote access a requirement of any new system.</i>					
3	The department should:					
	a) determine if the Tracker system can be enhanced to:					
	1. generate disbursements on a delayed basis, allowing time to ensure that checks cleared;					
	2. permit the issuance of checks based upon a predetermined threshold, thereby reducing the number of disbursements per month;					
Auditor's Follow Up Response	<i>The department should ensure that the new comprehensive case management system permits a delay in issuing checks until the probationer's restitution check clears. The department stated "... only essential programming modifications should be made in the interim and all funds put into the acquisition of a complete case management system." The department should determine if it is cost effective to purchase a Windows based Tracker System as an interim measure until the comprehensive case management system is obtained. We concur with the interim corrective actions taken by the department.</i>					
3	b) work with the bank to have the bank generate an electronic list of cleared checks to eliminate the process of manually entering cleared checks into the system;					
3	c) take the appropriate action to segregate the duties in the Restitution Unit to ensure the integrity of the beneficiaries;					
	d) establish written procedures that document the entire process;					

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3	e) identify a County location to secure its back up tapes.					
4	The department should:					
	a) use clerical staff to perform clerical duties such as data input and management of records, supplies and equipment;					
	b) obtain the concurrence of the courts for court personnel to prepare petitions, or alternatively, use PA's for this task;					
	c) reassess the staffing levels in the EARS unit;					
	d) obtain the Administration's commitment to provide adequate support from the County's IT department which might include the department having its own IT manager; and					
	e) reassign the two PO's, seven PO II's and a Probation Supervisor from clerical and administrative work to units to alleviate excessive caseloads.					
Auditor's Follow Up Response	<i>We stand by our finding that using a Probation Officer for data collection and using a PO II as information technology troubleshooter and technician is an underutilization of their skills. The department should discuss its needs for immediate response on urgent problems to see if IT can provide the level of service required.</i>					
5	The department should:					
	a) evaluate the effectiveness of the EARS technology to determine if it can be upgraded to improve voice recognition; and					
	b) evaluate the New York City kiosk systems for monitoring low level probationers as an EARS replacement.					
6	The department should review the data provided on other counties' Web sites and consider whether it could make more information available on the County Web site to inform the public regarding services and department contact information.					
7	We recommend that the department:					
	a) inventory the records by location and keep a written record. Knowledge of the filing system should not depend on the memory of employees; and					
	b) scan its records. The department and IT should evaluate requirements for the imaging of records to reduce file storage					